



U.S. Department of
Transportation
Office of the Secretary
of Transportation

ORDER

OST 1320.3A

9-19-86

Subject: FORMS MANAGEMENT SERVICES FOR THE OFFICE OF THE SECRETARY

1. PURPOSE This Order prescribes the requirements for obtaining forms management services in the Office of the Secretary (OST).
2. CANCELLATION OST 1320.3, Forms Services for the Office of the Secretary, of 11-12-68.
3. REFERENCES.
 - a. JCP - Government Printing and Binding Regulations, dated 4/77.
 - b. DOT 1360.5, Policies and Procedures Governing Department of Transportation Printing, Duplicating and Copying, of 8-29-79.
 - c. FIRMR, Part 201-45.104 - Forms Management.
4. DEFINITIONS.
 - a: A form is any fixed arrangement of captioned spaces designed for entering and extracting prescribed information including letters, post cards and memoranda, printed or otherwise reproduced in advance of its use, including ADP systems forms. Examples of ADP systems forms are:
 - (1) Paper forms designed to collect data for computer input; and
 - (2) Form layouts that are:
 - (a) Preprinted on continuous feed computer paper;
 - (b) Contained on overlays used to generate formatted computer outputs; or
 - (c) Programmed by a Federal agency and printed by a computer.
 - b. Certain printed items without fill-in spaces may be considered forms when it is advantageous to identify and control them as forms for purposes of reference, printing, stocking, distribution and use with other forms. Examples of these items are contract provisions, placards, pamphlets, instruction sheets, notices, tags, labels and posters.

DISTRIBUTION: All Secretarial Offices
All Operating Administrations (Info)

OPI: Office of Administrative
Services and Property Management

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- c. A public use form is used to collect information from ten or more public persons (non-Federal). They require the approval of the Office of Management and Budget prior to being prescribed for use.
 - d. A DOT form is prescribed for use by **OST** and one or more Operating Administrations, or for use by two or more Operating Administrations.
 - e. An **OST** form is one prescribed by an organization of **OST** for use only within **OST**.
 - f. A Government Standard Form (SF) is one prescribed by a Federal agency, pursuant to **its** authority, and approved by GSA for mandatory use by other agencies.
 - g. A Government Optional Form (OF) is one provided for optional use by one Federal agency and available for use by other agencies.
 - h. The **Office** of Primary Interest (**OPI**) is the originator of the form and has management responsibility for the activities associated with the form.
5. GENERAL POLICY The Department will use Standard Forms, Optional Forms and DOT Forms to the maximum extent possible. Any existing, new or revised-form may not be reproduced in any quantity without forms management and printing control clearances.
6. RESPONSIBILITIES The **OST** forms management program provides **services** for the Office of the Secretary. Complete technical services are available in forms analysis, design and manufacturing.
- a. The Office of Administrative Services and Property Management, **OST**, provides and/or coordinates the following services:
 - (1) Forms design;
 - (2) Preparation of printing specifications;
 - (3) Numbering of forms;
 - (4) Maintenance of forms register;
 - (5) Maintenance of official (history) forms file;
 - (6) Clearance of forms prior to printing or reproduction;
 - (7) Printing or reproduction of forms (includes composition and procurement); and
 - (8) Stocking and issuance of forms.

- b. The Office of Information Resource Management, **OST**, is responsible for:
 - (1) Providing forms management policy for the-Department.
 - (2) Ensuring clearance of public use forms with the Office of Management and Budget.
 - (3) Ensuring clearance and coordination in the use of General Services Administration Standard Forms.
 - (4) Preparing required reports and surveys to other Government agencies. .
 - (5) Serving as **liason** for the Department with the General Services Administration,
- c. The Office of Management Planning will ensure that a sample of any form prescribed by a directive is attached to the directive and is included in the coordination process.

7. PROCEDURES.

- a. New forms. The OPI will:
 - (1) Coordinate all Standard and Optional forms and revisions thereto with the Office of Information Resource Management, **OST**, and obtain all necessary approvals and **coordinations** prior to putting any form into use.
 - (2) Prepare and submit to Chief, Pre-Publication Review Branch, M-481:
 - (a) One pen or pencil draft, or camera copy, of the proposed form; and
 - (b) All parts except the instruction sheet of a completed (typed) Form DOT F 1700.3, Printing, Binding, Distribution, and Editorial Services Request (See Attachment 1).
- b. Revised forms. The OPI will follow the steps outlined in paragraph 7a(2) above,
- c. Form reprints Form reprints are for the purpose of stock replenishment: No changes in format, content or physical specifications are permitted; these constitute a revision, **The OPI** of a DOT or **OST** form is responsible for the maintenance of forms stocks.
 - (1) The OPI shall complete Form **OST F 1700.6**, Stock Level Notification, upon request from the **Pre-Publication Review Branch**.

(2) The **OPI** shall submit, to the **Pre-Publication** Review Branch, a completed (typed) Form DOT F 1700.3, Printing, Binding, Distribution, and Editorial Services Request and a current copy of the specified form.

8. DOT and OST FORMS INVENTORY. The DOT and **OST** forms inventory will occur every four years. The **OPI** for DOT or **OST** forms will receive three current copies of each form under its **control**. The **OPI** shall return to the Chief, **Pre-Publication** Review Branch, **M-481**, one copy of each form plus a clearance statement within **45** calendar days. The clearance statement must be signed by a person designated the responsibility of signing printing requisitions (DOT F 1700.3) for the **office**.
9. FORM AVAILABILITY. DOT F 1700.3, Printing, Binding, Distribution and Editorial Services Request, is available from each Distribution Representative and the **Pre-Publication** Review Branch, **M-481**.

FOR **THE** SECRETARY OF TRANSPORTATION:



Melissa J. Allen
For the Assistant Secretary for
Administration

Shaded areas for OST Printing Branch use

1. PERSON TO CONTACT ABOUT THIS WORK			ROUTING SYMBOL		TELEPHONE No.		2. AGCY. LTRS		3. REQUISITION No.			
4. TITLE OR DESCRIPTION OF WORK					FORM NO. OR G P O PROGRAM NO.			RIDER REQUEST <input type="checkbox"/>		GPO REQ. No.		
5. PAGES (Not Sheets) OF MATERIAL SUBMITTED					6. QUANTITY (UNITS OF FINISHED PROD)							
MANUSCRIPT		NEGS./POS		CAMERA COPY		TOTAL		FINISHED PRODUCT UNIT				
								<input type="checkbox"/> BOOKS OR PAMPHLETS <input type="checkbox"/> BLANK BOOKS <input type="checkbox"/> BLANK FORMS <input type="checkbox"/> FOLDERS <input type="checkbox"/> SETS <input type="checkbox"/> (SHEETS) PADS OR TABLETS <input type="checkbox"/> OTHER (SPECIFY)				
7. APPROPRIATION					8. EST. COST (AGCY.)		EST. COST		ACTUAL COST		9. DATE WANTED AT DESTIN.	

PRINTING, BINDING, AND DELIVERY INSTRUCTIONS

10. PAPER		11. INK	
KIND	SUB.	COLOR	COLOR NO.
TEXT			
COVER			
OTHER (SPECIFY)			

12. PROOFS WANTED				13. PRINT				14. FOLD TO TRIM X						
NO	YES	INDICATE KIND AND HOW MANY OF EACH		ONE SIDE ONLY	0	HEAD TO HEAD	0	HEAD TO SIDE (SEE SAMPLE)	0	PERF.	0	4 SIDES	0	PASTE

15. GATHER (Assemble)				16. PUNCH OR DRILL			
<input type="checkbox"/> AS PAGED <input type="checkbox"/> OTHER (SPECIFY)				HOLE SHAPE NO. HOLES DIAM. INCHES CTR. TO CTR. POSITION OTHER (SPECIFY)			

17. ADDITIONAL OR SPECIAL PRINTING AND BINDING INSTRUCTIONS (USE ADDITIONAL SHEETS IF NECESSARY)								CHECK DISPOSITION OF	
								TYPE	NEGS.
									DESTROY
									RETURN
									HOLD IN G P O
								TYPE	HOLD
									DROP

18. DISPOSITION OF WORK		QUANTITY (UNITS)		TO	

DISTRIBUTION INSTRUCTIONS

19. DISTRIBUTE TO	WASHINGTON HEADQUARTERS		FIELD		MAILING LISTS	

<input type="checkbox"/> 20. DIRECT SHIPPING INST. ATTACHED	<input type="checkbox"/> 21. DISTRIBUTE ON RCPT. OF WORK	<input type="checkbox"/> 22. DISTRIBUTE WHEN NOTIFIED	<input type="checkbox"/> 23. FOR INSTRUCTIONS CALL:	FOLD TO:		COPIES	
				8 1/2 x 5 1/2			
				8 1/2 x 3 1/4			
				Self-Mailer			
				DIST. CLEAR			

IT IS CERTIFIED THAT THIS WORK IS AUTHORIZED BY LAW AND NECESSARY TO THE CONDUCT OF THE BUSINESS OF THIS ORGANIZATION, AND THE ILLUSTRATIONS ORDERED ARE NECESSARY AND RELATE ENTIRELY TO THE PUBLIC BUSINESS.				CLEARED BY (SIGNATURE)			
REQUESTING OFFICE (SIGNATURE)		PRINTING REVIEW POINT (SIGNATURE)					

ROUTING SYMBOL	DATE	ROUTING SYMBOL	DATE	ROUTING SYMBOL	DATE

DEPARTMENT OF TRANSPORTATION

PRINTING, BINDING, DISTRIBUTION, AND EDITORIAL SERVICES REQUEST

INSTRUCTIONS

1. REMOVE this instruction sheet from set.. Use the reverse. side of it as your work or draft copy and retain it for your files.
2. TYPE all requested data on the requisition set.
3. SUBMIT all parts of the requisition set intact (including carbons)-unless instructed otherwise by your agency-to your Printing Review Point through appropriate clearance organizations your agency prescribes.

4. ITEM COMPLETION:

- | | | | |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| items 1. | Enter the name, routing symbol, and telephone number of the person in the requesting office who is most qualified to answer questions regarding this work. | Item 6. | Enter total quantity of finished product units required; also check the appropriate unit of finished product. |
| Item 2. | Enter the identifying abbreviation of your agency, i.e., OST, USCG, FAA, FHWA, FRA, NHTSA, UMTA, SLS, MARAD, RSPA. | Item 7. | Enter the appropriation symbols chargeable for the work to be performed. |
| Item 3. | Preparing offices do not use this space; it is reserved for your Printing Review Point to enter an assigned requisition number. | Item 8. | Agencies so desiring may enter their estimated cost of the requested service in the unshaded portion of this item. |
| Item 4. | Provide specific identification of the work to be processed. include, when applicable, volume number, form title and form number and edition date, GPO Program number, or any other adequate identification. Rider requests should be so stated and appropriately referenced | Item 9. | Provide a specific date the finished product is wanted at destinations. Do not use the term ASAP (as soon as possible). |
| Item 5. | Indicate number of pages "of manuscript and/or camera copy, including illustrations furnished (count a page for each typed or printed-side of a sheet), number of film negatives and/or positives furnished, and the combined total. | Item 10-16 | Complete all applicable data. |
| | | Item 17. | Provide additional or special printing and binding instructions and/or specifications not covered in other items. Use additional sheets if necessary. Also indicate disposition of negatives, and/or type, if applicable. |
| | | Item 18. | Specify the disposition of the completed work. |
| | | Item 19-24. | Complete all applicable items for material to be distributed by OST's Distribution Services. Indicate, where required, correct distribution codes to provide required coverage. |

